

# Management Safety Walk-Arounds

Los Alamos National Laboratory

Laboratory Implementation Requirements LIR 307-01-03.2

Original Issue Date: April 3, 1997 (Revision Date: April 8, 2005)

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## 1.0 Introduction

**1.01 Lessons Learned** Note: [Click here](#) for Lessons Learned *that may apply* to the requirements contained in this LIR.

### 1.1 Overview

All Laboratory work must meet applicable safety expectations. Ensuring that our work meets those expectations is a key management and employee responsibility and a core function of Integrated Safety Management. Assessing the conduct of our work for adherence to safety expectations is a fundamental element of performance assurance.

The requirements of this LIR are effective April 7, 1997.

**See Attachment A (Guidance) for Recommended Major Implementation Criteria for Self-Assessment.**

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### 1.2 In this Document

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## 2.0 Purpose

This document establishes the requirements for managers who perform safety walk-arounds as part of the implementation of Laboratory Performance Requirement (LPR) 307.01-0, *Performance Assurance*. Managers and workers alike are held accountable for the internal safety assessment process, and walk-arounds assure that the hazards associated with work—hazards to workers, to the public, to the environment, to facilities and property—are understood and controlled by those supervising and those performing the work. Walk-arounds serve to assure that these safety expectations are met.

Walk-arounds are one type of self-assessment tool. They are not inspections directed toward compliance goals; rather, they are cooperative, no-fault efforts between managers and workers designed to identify specific safety deficiencies or workplace problems, as well as noteworthy practices.

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## 3.0 Scope

The provisions of this document apply to all Laboratory managers and work under their authority whether performed by employees, subcontractors, or visitors.

Walk-arounds must be a fundamental management safety responsibility and must not be delegated.

Walk-arounds are not to be comprehensive, site-wide inspections. They must focus upon performance of specific safety activities, such as contamination control.

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## 4.0 Definitions

**deficiency**—a significant performance problem identified during a self-assessment activity (such as a walk-around). It is a noncompliance with a key requirement, or a situation that, if not corrected, could threaten the health and safety of workers or the public; the safety limits of the facility; or the environment. Deficiencies require tracking to closure.

**finding**—in the context of the walk-around, a finding is a noteworthy practice, an observation, or a deficiency.

**independent, internal assessment**—an assessment conducted by individuals who are independent of the activities or programs being evaluated; an assessment conducted by the PS-7 (Operational Assurance).

**managers**—the chain of command from the deputy group leaders and deputy office leaders to the Laboratory Director. The chain of command includes the Director; Deputy Director; division directors and deputy division directors, program directors and deputy program directors, and office directors and deputy office directors; and group leaders and deputy group leaders; program managers and deputy program managers, office leaders and deputy office leaders; and facility managers.

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## 4.0 Definitions (continued)

**noteworthy practice**—a positive condition that is well beyond normal performance expectations or standard practices and is worthy of commendation and communication to others as a good example.

**observation**—description of activities and/or conditions observed during a walk-around. Observations may be positive or negative, but tracking to closure is not required.

**office of institutional coordination (OIC)**—the group or office identified in this LIR responsible for establishing, coordinating, and providing continuing support for the implementation of expectations related to their assigned safety area or requirement.

**performance requirement**—performance expectations such as LPRs. Performance requirements describe what the results should be, rather than how they are to be achieved.

**safety**—synonymous with environment, safety, and health (ES&H) and used broadly to refer to the protection of workers, the public, the environment, and property.

**tenant**—any organization occupying a facility.

**walk-around**—performance-based evaluations of work activities conducted to gauge conformance to safety performance expectations; limited in scope.

**worker**—any University of California employee, subcontractor employee, student, or visitor who performs work at the Laboratory.

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## 5.0 Functional Responsibilities

<b>5.1</b> <b>Division-Level</b> <b>Mangers</b>	Division, program, and office directors must Develop and implement walk-around programs for their organizations that assess the work activities of their workers for conformance to safety performance expectations, and take appropriate actions to improve operations within their authority.
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<b>5.2</b> <b>Group-Level</b> <b>Managers</b>	Group leaders, office leaders, program managers, and facility managers must implement walk-around programs in their organizations.
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<b>5.3</b> <b>PS-7</b> <b>(Operational</b> <b>Assurance)</b>	The PS-7 Group must provide oversight and implementation assistance for the walk-around programs, and maintain this LIR and the companion Laboratory Implementation Guidance (LIG) document.
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**5.4  
IM-8  
(Advanced  
Information  
and Business  
Application  
Development)**

The IM-8 Group must establish and maintain the computerized walk-around data systems.

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**5.5  
PS-13 (Training  
Services)**

The PS-13 Group must provide appropriate training for managers and supervisors in safety management walk-arounds.

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## 6.0 Requirements

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## **6.1 General Requirements**

The general requirements that must be followed when conducting management safety walk-arounds are:

- Communication between line managers and workers during walk-arounds is considered essential to the effectiveness and ultimate success of the internal safety assessment process. Managers should solicit worker observations, concerns, and suggestions.
- Personnel performing walk-arounds must have received orientation and/or training in self assessment techniques or be accompanied by experienced and trained personnel.
- Personnel assigned walk-around responsibilities must be held accountable for performing their walk-around assignments, (e.g., inclusion in performance appraisals).
- Unsafe work practices or conditions identified during walk-arounds must be corrected immediately or work must be stopped.
- Except for cases of extreme misconduct (e.g., illegal activities or conditions or activities that represent an immediate threat to the safety of workers), deficiencies and observations documented during walk-arounds will not be subject to the ES&H Discipline vs. Violation Level Matrix Grid.
- Walk-arounds must recognize and reinforce good performance.
- Walk-around reports must document in the Laboratory's tracking system the name(s) of walk-around personnel, walk-around dates, noteworthy practices, deficiencies, observations, and proposed corrective actions (including the name of the individual responsible for fixing the problem and the target completion dates).
- Individuals assigned corrective actions from walk-arounds must concur in their ownership of the corrective action. Disagreements regarding ownership of corrective actions must be elevated to the next level of supervision for resolution. Corrective actions that are beyond the span of control of the organization conducting the walk-arounds must be elevated to appropriate supervision.
- Previous assessment/walk-around data must be used, when available, during walk-arounds.
- Contractor activities must be included to assure adherence to contractual safety commitments.

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## **6.2 Facility Requirements**

In addition to the general requirements, facility walk-arounds must:

- focus on the implementation of facility management;
- evaluate tenant activities, as required, to assess impact on the facility;
- compare walk around findings to established facility performance expectations; and,
- evaluate contractor activities to assure adherence to contractual safety commitments and facility expectations.

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<b>6.3</b> <b>Division-level</b> <b>Manager</b> <b>Requirements</b>	<p>In addition to the general requirements for conducting management safety walk-arounds, division, program, and office directors must</p> <ul style="list-style-type: none"><li>• develop walk-around implementation plans, which will include<ul style="list-style-type: none"><li>- the frequency of walk-arounds using a graded approach (there is a minimum expectation of three walk-arounds per manager per quarter, preferably one per month, for managers with low-risk operations such as office environments; a higher number is expected for managers with higher risk operations);</li><li>- the criteria that will be used to conduct the walk-arounds (e.g., guidance cards, LPRs);</li><li>- the personnel responsible for conducting walk-arounds;</li><li>- the training required to perform walk-arounds;</li><li>- the role of non-management (e.g., team leaders and supervisors, if they are assigned walk-around duties by division-level management);</li><li>- the process for evaluating subcontractors;</li><li>- the documentation requirements for the results of the walk-arounds; and</li><li>- the disposition and tracking of corrective actions;</li></ul></li><li>• compare walk-around findings to established performance expectations, such as guidance cards or LPRs;</li><li>• assure that corrective actions are completed and effective; and,</li><li>• assure that the general requirements in section 6.1 of this LIR are met.</li></ul>
<b>6.4</b> <b>Group-level</b> <b>Manager</b> <b>Requirements</b>	<p>In addition to the general requirements for conducting management safety walk-arounds, group leaders, office leaders, program managers, and facility managers must implement the walk-around plans of the division, program, or office directors.</p>
<b>6.5</b> <b>Facility</b> <b>Manager</b> <b>Requirements</b>	<p>In addition to their group-level responsibilities, facility managers must meet the facility requirements in paragraph 6.2 of this LIR</p>

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## 7.0 Precautions and Limitations

Personnel performing the assessments must comply with all Laboratory and site-specific ES&H requirements.

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## 8.0 Records

At a minimum, each division-level organization must submit to the Laboratory-wide tracking system (may be accessed through the LANL home page—"management walk arounds") the following records:

- name(s) of personnel conducting the walk-arounds, walk-around dates, work observed, and walk-around criteria (e.g., guidance card, LPR) for each walk-around;
  - walk-around findings (noteworthy practices, observations, deficiencies); and,
  - types of findings, corrective actions, responsible parties, target completion dates, and dates completed.
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## 9.0 References

### 9.1

#### Documents

*Performance Assurance*, Los Alamos National Laboratory, LPR 307-01.0.

*Integrated Safety Management*, Los Alamos National Laboratory, November 1996.

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### 9.2

#### Document Ownership

PS-7 is the OIC responsible for the contents of this document.

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## 10.0 Attachment

A: Recommended Major Implementation Criteria for Self-Assessment

# Guidance

## Attachment A

### Recommended Major Implementation Criteria for Self-Assessment

(Non-Mandatory)

LIR Title	LIR Number
Management Safety Walk-Arounds	LIR 307-01-03

The major implementation criteria listed below are provided to assist Laboratory organizations assess their implementation of this LIR. These criteria provide an objective basis for self-assessing implementation of the major requirements contained in the LIR. The LIR also states requirements in other areas, such as, scope, precautions, and responsibilities that, when applied, complement the successful implementation of these major requirements.

- 1. The most important criterion for assessing the implementation status of this LIR should be, if applicable: Have the requirements contained in the LIR been communicated to the individual(s) responsible for performing the work?**
- 2. In addition, the recommended major implementation criteria for self-assessment of this LIR are the following:**
  - Walk-arounds are cooperative, no-fault efforts between managers and workers designed to identify specific safety deficiencies or workplace problems, as well as noteworthy practices(see section 2.0),
  - Walk-arounds are not inspections directed toward compliance goals; rather, they are designed to assure that hazards associated with work (i.e., hazards to workers, to the public, to the environment, to facilities and property) are understood and controlled by those supervising and those performing the work (see section 2.0),
  - Managers conduct safety walk-arounds (see section 6.1) as required, and
  - Facility managers perform safety walk-arounds on implementation of facility management, tenant activities, and contractor activities for adherence to contractual safety commitments and facility expectations (see section 6.2 and 6.5).